

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/053,103	01/17/2002	Peter Lockhart	163P008

HANCOCK & ESTABROOK, LLP
1500 MONY Tower I
PO Box 4976
Syracuse, NY 13221-4976

CONFIRMATION NO. 1786

FORMALITIES LETTER



OC000000007528680

Date Mailed: 02/25/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:

- drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

Refund Ref: 04/19/2002 SSESH1 0000116316 *ME*

CHECK Refund Total: \$40.00

*A copy of this notice **MUST** be returned with the reply.*

65.00 DP
00000051 100533103

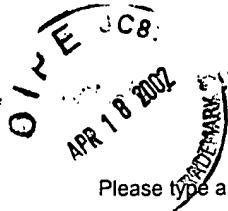
04/19/2002 SSESH1

01 FC:205
04/19/2002 SSESH1

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY



Please type a plus sign (+) inside this box → +

8 MP/1
A

PTO/SB/21 (08-00)

Approval for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	10/053,103
		Filing Date	Jan 17, 2002
		First Named Inventor	Lockhart, Peter
		Group Art Unit	
		Examiner Name	
Total Number of Pages in This Submission		Attorney Docket Number	163P008

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers <i>(for an Application)</i>	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i>
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i>
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks <input type="checkbox"/> check in the amount of \$105 to cover fee for missing part and assignment filing; assignment transmittal, a postcard and Notice to File Missing Parts Transmittal	
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

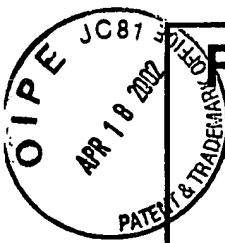
Firm or Individual name	George R. McGuire HANCOCK & ESTABROOK, LLP
Signature	
Date	April 8, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: April 8, 2002

Typed or printed name	Ann R. Miller
Signature	
Date	April 8, 2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents. Washington, DC 20231.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEES TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application Number	10/053,103
Filing Date	1/17/2002
First Named Inventor	Lockhart et al.
Examiner Name	
Group Art Unit	
Attorney Docket No.	163P008

METHOD OF PAYMENT		FEE CALCULATION (continued)																																																																																																																																																																																														
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:</p> <p>Deposit Account Number 50-0576</p> <p>Deposit Account Name _____</p> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p>		<p>3. ADDITIONAL FEES</p> <table border="1"> <thead> <tr> <th>Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td></td><td>65 Surcharge - late filing fee or oath</td><td>65.00</td></tr> <tr><td>127</td><td>50</td><td>227</td><td></td><td>25 Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td></td><td>130 Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td></td><td>2,520 For filing a request for ex parte reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td></td><td>920* Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td></td><td>55 Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td></td><td>200 Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>920</td><td>217</td><td></td><td>460 Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td></td><td>720 Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td></td><td>980 Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>320</td><td>219</td><td></td><td>160 Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>320</td><td>220</td><td></td><td>160 Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>280</td><td>221</td><td></td><td>140 Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td></td><td>1,510 Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td></td><td>55 Petition to revive - unavoidable</td><td></td></tr> <tr><td>141</td><td>1,280</td><td>241</td><td></td><td>640 Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>1,280</td><td>242</td><td></td><td>640 Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>460</td><td>243</td><td></td><td>230 Design issue fee</td><td></td></tr> <tr><td>144</td><td>620</td><td>244</td><td></td><td>310 Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td></td><td>130 Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td></td><td>50 Processing fee under 37 CFR 1.17(q)</td><td></td></tr> <tr><td>126</td><td>180</td><td>126</td><td></td><td>180 Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td></td><td>40 Recording each patent assignment per</td><td>40.00</td></tr> <tr><td>146</td><td>740</td><td>246</td><td></td><td>370 Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149</td><td>740</td><td>249</td><td></td><td>370 For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td>179</td><td>740</td><td>279</td><td></td><td>370 Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>900</td><td>169</td><td></td><td>900 Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="5">Other fee (specify) _____</td><td></td></tr> <tr> <td colspan="5">*Reduced by Basic Filing Fee Paid (3)</td> <td>SUBTOTAL (\$) 105.00</td> </tr> </tbody> </table>					Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205		65 Surcharge - late filing fee or oath	65.00	127	50	227		25 Surcharge - late provisional filing fee or cover sheet		139	130	139		130 Non-English specification		147	2,520	147		2,520 For filing a request for ex parte reexamination		112	920*	112		920* Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215		55 Extension for reply within first month		116	400	216		200 Extension for reply within second month		117	920	217		460 Extension for reply within third month		118	1,440	218		720 Extension for reply within fourth month		128	1,960	228		980 Extension for reply within fifth month		119	320	219		160 Notice of Appeal		120	320	220		160 Filing a brief in support of an appeal		121	280	221		140 Request for oral hearing		138	1,510	138		1,510 Petition to institute a public use proceeding		140	110	240		55 Petition to revive - unavoidable		141	1,280	241		640 Petition to revive - unintentional		142	1,280	242		640 Utility issue fee (or reissue)		143	460	243		230 Design issue fee		144	620	244		310 Plant issue fee		122	130	122		130 Petitions to the Commissioner		123	50	123		50 Processing fee under 37 CFR 1.17(q)		126	180	126		180 Submission of Information Disclosure Stmt		581	40	581		40 Recording each patent assignment per	40.00	146	740	246		370 Filing a submission after final rejection (37 CFR § 1.129(a))		149	740	249		370 For each additional invention to be examined (37 CFR § 1.129(b))		179	740	279		370 Request for Continued Examination (RCE)		169	900	169		900 Request for expedited examination of a design application		Other fee (specify) _____						*Reduced by Basic Filing Fee Paid (3)					SUBTOTAL (\$) 105.00
Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																											
105	130	205		65 Surcharge - late filing fee or oath	65.00																																																																																																																																																																																											
127	50	227		25 Surcharge - late provisional filing fee or cover sheet																																																																																																																																																																																												
139	130	139		130 Non-English specification																																																																																																																																																																																												
147	2,520	147		2,520 For filing a request for ex parte reexamination																																																																																																																																																																																												
112	920*	112		920* Requesting publication of SIR prior to Examiner action																																																																																																																																																																																												
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																																												
115	110	215		55 Extension for reply within first month																																																																																																																																																																																												
116	400	216		200 Extension for reply within second month																																																																																																																																																																																												
117	920	217		460 Extension for reply within third month																																																																																																																																																																																												
118	1,440	218		720 Extension for reply within fourth month																																																																																																																																																																																												
128	1,960	228		980 Extension for reply within fifth month																																																																																																																																																																																												
119	320	219		160 Notice of Appeal																																																																																																																																																																																												
120	320	220		160 Filing a brief in support of an appeal																																																																																																																																																																																												
121	280	221		140 Request for oral hearing																																																																																																																																																																																												
138	1,510	138		1,510 Petition to institute a public use proceeding																																																																																																																																																																																												
140	110	240		55 Petition to revive - unavoidable																																																																																																																																																																																												
141	1,280	241		640 Petition to revive - unintentional																																																																																																																																																																																												
142	1,280	242		640 Utility issue fee (or reissue)																																																																																																																																																																																												
143	460	243		230 Design issue fee																																																																																																																																																																																												
144	620	244		310 Plant issue fee																																																																																																																																																																																												
122	130	122		130 Petitions to the Commissioner																																																																																																																																																																																												
123	50	123		50 Processing fee under 37 CFR 1.17(q)																																																																																																																																																																																												
126	180	126		180 Submission of Information Disclosure Stmt																																																																																																																																																																																												
581	40	581		40 Recording each patent assignment per	40.00																																																																																																																																																																																											
146	740	246		370 Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																																												
149	740	249		370 For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																																												
179	740	279		370 Request for Continued Examination (RCE)																																																																																																																																																																																												
169	900	169		900 Request for expedited examination of a design application																																																																																																																																																																																												
Other fee (specify) _____																																																																																																																																																																																																
*Reduced by Basic Filing Fee Paid (3)					SUBTOTAL (\$) 105.00																																																																																																																																																																																											
<p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>																																																																																																																																																																																																
FEE CALCULATION																																																																																																																																																																																																
<p>1. BASIC FILING FEE</p> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Fee (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101</td><td>740</td><td>201</td><td>370</td><td>Utility filing fee</td><td></td></tr> <tr><td>106</td><td>330</td><td>206</td><td>165</td><td>Design filing fee</td><td></td></tr> <tr><td>107</td><td>510</td><td>207</td><td>255</td><td>Plant filing fee</td><td></td></tr> <tr><td>108</td><td>740</td><td>208</td><td>370</td><td>Reissue filing</td><td></td></tr> <tr><td>114</td><td>160</td><td>214</td><td>80</td><td>Provisional filing</td><td></td></tr> </tbody> </table>						Large Entity Fee Code (\$)	Fee (\$)	Small Entity Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid	101	740	201	370	Utility filing fee		106	330	206	165	Design filing fee		107	510	207	255	Plant filing fee		108	740	208	370	Reissue filing		114	160	214	80	Provisional filing																																																																																																																																																								
Large Entity Fee Code (\$)	Fee (\$)	Small Entity Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																																											
101	740	201	370	Utility filing fee																																																																																																																																																																																												
106	330	206	165	Design filing fee																																																																																																																																																																																												
107	510	207	255	Plant filing fee																																																																																																																																																																																												
108	740	208	370	Reissue filing																																																																																																																																																																																												
114	160	214	80	Provisional filing																																																																																																																																																																																												
SUBTOTAL (\$)																																																																																																																																																																																																
<p>2. EXTRA CLAIM FEES</p> <table border="1"> <thead> <tr> <th>Total Claims</th> <th>-20** =</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td></tr> <tr><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input type="checkbox"/></td><td><input checked="" type="checkbox"/></td><td><input type="checkbox"/></td></tr> <tr><td colspan="5">Multiple Dependent</td></tr> </tbody> </table> <table border="1"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Entity Fee (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> </tr> </thead> <tbody> <tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td></tr> <tr><td>102</td><td>84</td><td>202</td><td>42</td><td>Independent claims in excess of 3</td></tr> <tr><td>104</td><td>280</td><td>204</td><td>140</td><td>Multiple dependent claim, if not paid</td></tr> <tr><td>109</td><td>84</td><td>209</td><td>42</td><td>**Reissue independent claims over original patent</td></tr> <tr><td>110</td><td>18</td><td>210</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td></tr> </tbody> </table>						Total Claims	-20** =	Extra Claims	Fee from below	Fee Paid	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Multiple Dependent					Large Entity Fee Code (\$)	Entity Fee (\$)	Small Entity Fee Code (\$)	Entity Fee (\$)	Fee Description	103	18	203	9	Claims in excess of 20	102	84	202	42	Independent claims in excess of 3	104	280	204	140	Multiple dependent claim, if not paid	109	84	209	42	**Reissue independent claims over original patent	110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																									
Total Claims	-20** =	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																																												
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>																																																																																																																																																																																												
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>																																																																																																																																																																																												
Multiple Dependent																																																																																																																																																																																																
Large Entity Fee Code (\$)	Entity Fee (\$)	Small Entity Fee Code (\$)	Entity Fee (\$)	Fee Description																																																																																																																																																																																												
103	18	203	9	Claims in excess of 20																																																																																																																																																																																												
102	84	202	42	Independent claims in excess of 3																																																																																																																																																																																												
104	280	204	140	Multiple dependent claim, if not paid																																																																																																																																																																																												
109	84	209	42	**Reissue independent claims over original patent																																																																																																																																																																																												
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																												
SUBTOTAL (2) (\$)																																																																																																																																																																																																
<p>**or number previously paid, if greater; For Reissues, see above</p>																																																																																																																																																																																																

SUBMITTED BY						Complete if applicable
Name (Print/Type)	George R. McGuire	Registration No. (Attorney/Agent)	36603	Telephone	315-471-3151	
Signature				Date	4/18/02	

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization of PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.